

MONTH END ACTIVITY REPORT
Bureau of Securities
April 2015

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
Additional	75	324	399
Oversales	4	57	61
Renewal Filings	580	1369	1949
New Notice Filings	308	116	424
Common Stock	0	0	0
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	3	0	3
BDC	4	0	4
Debt	0	0	0
Qualification	0	0	0
Other	0	0	0
Denials	0	0	0
Sales of Unregistered Securities	0	0	0
Withdrawals	0	0	0

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	Non-FINRA	Total
Approved	1	0	1
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	4	0	4
Gain (+) /Loss (-) BD's between Mar & Apr 2015	-3	0	-3
Total BD's Registered as of April 30, 2015	1,337	30	1,367

Broker-Dealer Agents

Activity	FINRA	Non-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	2,031	0	2,031
Denied	0	0	0
Terminations	1,325	0	1,325
Gain (+) /Loss (-) BDAs between Mar & Apr 2015	706	0	706
Total BDA's Registered as of April 30, 2015	97,078	31	97,109

MONTH END ACTIVITY REPORT
Bureau of Securities
April 2015

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	1	11	12
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	1	2	3
Denied	0	0	0
Gain (+) /Loss (-) IA's between Mar & Apr 2015	0	9	9
Total IA's Registered as of April 30, 2015	103	1,251	1,354

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	3	61	64
Denied	0	0	0
Terminated	1	29	30
Gain (+) /Loss (-) IAR's between Mar & Apr 2015	2	32	34
Total IAR's Registered as of April 30, 2015	177	3,698	3,875

Exemptions

Exemption Type	Number
8-1108.02(2)	44
8-1108.02(3)	0
8-1111(16)	0
8-1110(5)(b)	0
8-1111(20)	0
8-1110(8)	0
8-1111(9)	9
8-1111(11)(a)	0
8-1111(11)(b)	0
8-1111(14)	0
8-1111(15)	0
8-1111(17)	0
Total Exemptions as of April 30, 2015	53